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PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/823,346
	Filing Date	04/12/2004
	First Named Inventor	Shek Fai Lau
	Art Unit	1723
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number	SHPR-01361USJ

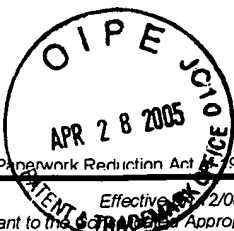
ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Fliesler Meyer LLP	Customer No. 23910	
Signature			
Printed name	Melissa L. Basch		
Date	4-26-05	Reg. No.	56,159

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature			
Typed or printed name	Melissa L. Basch	Date	4-26-05

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PTO/SB/17 (12-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective 12/08/2004.

Fees pursuant to the Trademark Fee Schedule, 37 CFR 1.16 and 1.17.

FEE TRANSMITTAL

For FY 2005

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 0)

Complete if Known

Application Number	10/823,346
Filing Date	04/12/2004
First Named Inventor	Shek Fai Lau
Examiner Name	
Art Unit	1723
Attorney Docket No.	SHPR-01361USJ

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 06-1325 Deposit Account Name: 23910 - Fliesler Meyer LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims	Fee (\$)	Fee Paid (\$)
_____ - 20 or HP = _____	x _____	= _____				
HP = highest number of total claims paid for, if greater than 20						
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)			
_____ - 3 or HP = _____	x _____	= _____				
HP = highest number of independent claims paid for, if greater than 3						

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____ - 100 = _____	/ 50 = _____	(round up to a whole number) x _____	= _____	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: _____

SUBMITTED BY

Signature		Registration No. (Attorney/Agent) <u>56.159</u>	Telephone <u>415.362.3800</u>
Name (Print/Type)	<u>Melissa L. Basch</u>		Date <u>4-26-05</u>

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Attorney Docket No.: SHPR-01361USJ
mbasch/SHPR/1361USJ/1361usj.fees.pdf



THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

Inventor: Lau, et al.
Appl. No.: 10/823,346
Confirm. No.: 4739
Filed: April 12, 2004
Title: ELECTRODE SELF-CLEANING MECHANISMS
WITH ANTI-ARC GUARD FOR ELECTRO-
KINETIC AIR TRANSPORTER-CONDITIONER
DEVICES

PATENT APPLICATION

Art Unit: 1723
Examiner:

Customer No. 23910

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to **Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450**, on April 26, 2005

(Attorney Signature)

Melissa L. Basch, Reg. No. 56,159
Signature Date: April 26, 2005

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.56

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

Enclosed with this statement are the following:

- ☒ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with MPEP §609.
- ☐ The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at pac/dapp/opla/preognotice/idswouscopies.htm, copies of cited U.S. patents and publications are not enclosed. Copies of cited foreign patent documents and non-patent literature are enclosed in accordance with 37 CFR §1.98(a)(2), as still required.
- ☒ The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at pac/dapp/opla/preognotice/idswouscopies.htm, copies of cited U.S. patents and publications are not enclosed. Additionally, copies of cited foreign patent documents and non-patent literature, items marked with an asterisk(*), are enclosed in accordance with 37 CFR §1.98(a)(2), as still required. The non-

asterisked items were previously submitted in an Information Disclosure Statement by applicant in a parent application (see legend at end of Form PTO-1449), from which benefit under 35 USC §120 is claimed, which Information Disclosure Statement complies with the September 8, 2000 or subsequent revision of 37 CFR §1.98(a-c), as allowed under 37 CFR §1.98(d)(1).

— The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at pac/dapp/opla/preognotice/idswouscopies.htm, copies of cited U.S. patents and publications are not enclosed. Additionally, all cited foreign patent documents and non-patent literature are not enclosed because they were previously submitted in an Information Disclosure Statement by applicant in a parent application (see legend at end of Form PTO-1449), from which benefit under 35 USC §120 is claimed, which Information Disclosure Statement complies with the September 8, 2000 or subsequent revision of 37 CFR §1.98(a-c), as allowed under 37 CFR §1.98(d)(1).

X If any of the cited/submitted documents is in a foreign language, a concise explanation of relevance is provided pursuant to 37 CFR §1.98(a)(3)(i). For foreign language documents cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by the submission herewith of an English language version of the search report. MPEP §609A(3). If a written English-language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in §1.56(c), a copy of the translation accompanies this statement, 37 CFR §1.98(a)(3)(ii), and satisfies the requirement for a concise explanation of relevance, MPEP §609A(3).

— **PTA Statement under 37 CFR §1.704(d).** Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

This statement should be considered because:

X **37 CFR §1.97(b).** This statement qualifies under 37 CFR §1.97, subsection (b) because:

- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under §1.53(d);
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 CFR §1.114.

— **37 CFR §1.97(c).** Although it may not qualify under subsection (b), this statement qualifies under 37 CFR §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL Office Action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.
-- AND (check at least one of the following) --
— (1) It is accompanied by a STATEMENT as set forth in 37 CFR §1.97(e).
-- OR --

____ (2) It is accompanied by the \$180 fee set forth in 37 CFR §1.17(p).
____ **37 CFR §1.97(d).** Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 CFR §1.97, subsection (d) because:


- (1) It is being filed on or before payment of the issue fee;
-- AND --
- (2) It is accompanied by a STATEMENT as set forth in 37 CFR §1.97(e);
-- AND --
- (3) It is accompanied by the \$180 fee set forth in 37 CFR §1.17(p).

X **Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 06-1325.

____ This Information Disclosure Statement is being filed on the same date as an electronic Information Disclosure Statement. The \$180 fee is being paid herewith; therefore, no fee is due for the electronic Information Disclosure Statement filed on _____ for this application.

Respectfully submitted,

Date: 4-26-05

By: 
Melissa L. Basch
Reg. No. 56,159

Customer No. 23910
FLIESLER MEYER LLP
Four Embarcadero Center, Fourth Floor
San Francisco, California 94111-4156
Telephone: (415) 362-3800
Facsimile: (415) 362-2928

FORM PTO-1449
(Substitute)

US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Attorney Docket Number

SHPR-01361USJ

Serial No.

10/823,346

INFORMATION DISCLOSURE CITATION

Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

U.S. PATENTS

Examiner Initial		Patent Number	Issue Date	Name	Class	Subclass	Filing Date
	1.	653,421 A	7/10/1900	Lorey			8/22/1899
	2.	995,958 A	6/20/1911	Goldberg			2/10/1911
	3.	1,791,338 A	2/3/1931	Wintermute			4/12/1927
	4.	1,869,335 A	7/26/1932	Day			12/13/1926
	5.	2,327,588 A	8/24/1943	Bennett			6/1/1940
	6.	2,359,057 A	9/26/1944	Skinner			2/28/1942
	7.	2,509,548 A	5/30/1950	White			5/27/1948
	8.	2,949,550 A	8/16/1960	Brown			7/3/1957
	9.	3,018,394 A	1/23/1962	Brown			7/3/1957
	10.	3,026,964 A	3/27/1962	Penney			5/6/1959
	11.	3,374,941 A	3/26/1968	Okress			6/30/64
	12.	3,518,462 A	6/30/1970	Brown			8/21/1967
	13.	3,540,191 A	11/17/1970	Herman			1/29/1968
	14.	3,581,470 A	6/1/1971	Aitkenhead et al.			12/30/1969
	15.	3,638,058 A	1/25/1972	Fritzius			6/8/1970
	16.	3,744,216 A	7/10/1973	Halloran			8/7/1970
	17.	3,981,695 A	9/21/1976	Fuchs			11/2/1973
	18.	3,984,215 A	10/5/1976	Zucker			1/8/1975
	19.	4,052,177 A	10/4/1977	Kide			3/1/1976
	20.	4,092,134 A	5/30/1978	Kikuchi			6/3/1976
	21.	4,102,654 A	7/25/1978	Pellin			7/26/1977
	22.	4,138,233 A	2/6/1979	Masuda			6/16/1977
	23.	4,209,306 A	6/24/1980	Feldman et al.			11/13/1978
	24.	4,227,894 A	10/14/1980	Proynoff			10/10/1978
	25.	4,231,766 A	11/4/1980	Spurgin			12/11/1978

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

NonAsterisked Items: Copies not submitted because they were submitted in prior application, filed, and relied upon under 35 USC §120.

FORM PTO-1449

(Substitute)

US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Attorney Docket Number

SHPR-01361USJ

Serial No.

10/823,346

**INFORMATION DISCLOSURE CITATION
BY APPLICANT**

Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

26.	4,232,355 A	11/4/1980	Finger et al.		1/8/1979
27.	4,244,710 A	1/13/1981	Burger		5/9/1978
28.	4,244,712 A	1/13/1981	Tongret		3/5/1979
29.	4,253,852 A	3/3/1981	Adams		11/8/1979
30.	4,259,452 A	3/31/1981	Yukuta et al.		5/15/1979
31.	4,264,343	4/28/1981	Natarajan et al.		5/18/1979
32.	4,266,948 A	5/12/1981	Teague et al.		1/4/1980
33.	4,282,014 A	8/4/1981	Winkler et al.		5/21/1979
34.	4,284,420 A	8/18/1981	Borysiak		8/27/1979
35.	4,318,718 A	3/9/1982	Utsumi et al.		7/14/1980
36.	4,342,571 A	8/3/1982	Hayashi		6/14/1978
37.	4,357,150 A	11/2/1982	Masuda et al.		2/5/1981
38.	4,386,395 A	5/31/1983	Francis, Jr.		12/19/1980
39.	4,413,225 A	11/1/1983	Donig et al.		7/17/1981
40.	4,445,911 A	5/1/1984	Lind		12/15/1981
41.	4,477,263 A	10/16/1984	Shaver et al.		6/28/1982
42.	4,496,375 A	11/29/1984	Le Vantine		6/14/1983
43.	4,502,002 A	2/26/1985	Ando		9/2/1982
44.	4,509,958 A	4/9/1985	Masuda et al.		10/8/1982
45.	4,516,991 A	5/14/1985	Kawashima		4/25/1982
46.	4,536,698 A	8/20/1985	Shevalenko et al.		8/25/1983
47.	4,587,475 A	5/6/1986	Finney, Jr. et al.		7/25/1983
48.	4,600,411 A	7/15/1986	Santamaria		4/6/1984
49.	4,601,733 A	7/22/1986	Ordines et al.		9/27/1984
50.	4,626,261 A	12/2/1986	Jorgensen		12/12/1985
51.	4,643,745 A	2/17/1987	Sakakibara et al.		12/17/1984
52.	4,659,342 A	4/21/1987	Lind		4/30/1984

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

NonAsterisked Items: Copies not submitted because they were submitted in prior application, filed, and relied upon under 35 USC §120.

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**INFORMATION DISCLOSURE CITATION
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Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

	53.	4,674,003 A	6/16/1987	Zylka			4/3/1985
	54.	4,686,370 A	8/11/1987	Blach			2/13/1985
	55.	4,689,056 A	8/25/1987	Noguchi et al.			8/29/1986
	56.	4,694,376 A	9/15/1987	Gesslauer			9/26/1985
	57.	4,713,093 A	12/15/1987	Hansson			7/8/1986
	58.	4,713,724 A	12/15/1987	Voelkel			6/30/1986
	59.	4,726,812 A	2/23/1988	Hirth			3/26/1987
	60.	4,726,814 A	2/23/1988	Weitman			6/27/1986
	61.	4,772,297 A	9/20/1988	Anzai			8/19/1986
	62.	4,779,182 A	10/18/1988	Mickal et al.			6/24/1986
	63.	4,781,736 A	11/1/1988	Cheney et al.			11/20/1986
	64.	4,786,844 A	11/22/1988	Farrell et al.			3/30/1987
	65.	4,789,801 A	12/6/1988	Lee			4/3/1987
	66.	4,808,200 A	2/28/1989	Dallhammer et al.			11/12/1987
	67.	4,811,159 A	3/7/1989	Foster, Jr.			3/1/1988
	68.	4,940,470 A	7/10/1990	Jaisinghani et al.			3/23/1988
	69.	4,941,068 A	7/10/1990	Hofmann			8/1/1988
	70.	4,955,991 A	9/11/1990	Torok et al.			9/26/1988
	71.	4,967,119 A	10/10/1990	Torok et al.			5/27/1988
	72.	4,976,752 A	12/11/1990	Torok et al.			4/10/1990
	73.	D315,598 S	3/19/1991	Yamamoto et al.			7/12/1989
	74.	5,006,761 A	4/9/1991	Torok et al.			5/27/1988
	75.	5,010,869 A	4/30/1991	Lee			8/11/1989
	76.	5,012,093 A	4/30/1991	Shimizu			8/28/1989
	77.	5,012,159 A	4/30/1991	Torok et al.			11/15/1989
	78.	5,024,685 A	6/18/1991	Torok et al.			6/30/1988
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EXAMINER

DATE CONSIDERED

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FORM PTO-1449

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US DEPARTMENT OF COMMERCE
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Serial No.

10/823,346

**INFORMATION DISCLOSURE CITATION
BY APPLICANT**

Applicant

Shek Fai Lau, et al.

Filing Date

04/12/2004

Group Art Unit

1723

	80.	5,077,500 A	12/31/1991	Torok et al.			8/7/1989
	81.	Re. 33,927	5/19/1992	Fuzimura			9/15/1989
	82.	5,141,529 A	8/25/1992	Oakley et al.			6/28/1990
	83.	D329,284 S	9/8/1992	Patton			4/15/1991
	84.	D332,655 S	1/19/1993	Lytle et al.			10/4/1991
	85.	5,180,404 A	1/19/1993	Loreth et al.			6/10/1991
	86.	5,183,480 A	2/2/1993	Raterman et al.			10/28/1991
	87.	5,196,171 A	3/23/1993	Peltier			3/11/1991
	88.	5,215,558 A	6/1/1993	Moon			6/11/1991
	89.	5,217,504 A	6/8/1993	Johansson			3/20/1990
	90.	5,248,324 A	9/28/1993	Hara			2/18/1992
	91.	5,266,004 A	11/30/1993	Tsumurai et al.			11/30/1993
	92.	5,290,343 A	3/1/1994	Morita et al.			7/10/1992
	93.	5,296,019 A	3/22/1994	Oakley et al.			8/24/1992
	94.	5,302,190 A	4/12/1994	Williams			6/8/1992
	95.	5,315,838 A	5/31/1994	Thompson			8/16/1993
	96.	5,316,741 A	5/31/1994	Sewell et al.			5/30/1991
	97.	5,378,978 A	1/3/1995	Gallo et al.			4/2/1993
	98.	5,435,817 A	7/25/1995	Davis et al.			5/20/1994
	99.	5,437,713 A	8/1/1995	Chang			12/1/1994
	100.	5,484,472 A	1/16/1996	Weinberg			2/6/1995
	101.	5,484,472 C1	2/20/2001	Weinberg			2/6/1995
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Attorney Docket Number

SHPR-01361USJ

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Attorney Docket Number

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